

### DETAILED ACTION

- A. This action is in response to the following communications: Amendment filed: 12/07/2009. This action is made **Final**.
- B. Claims 13, 15-22 and 24-38 remain pending.

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### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 13, 15-22 and 24-38 are rejected under 35 U.S.C. 102(e) as being anticipated by Rivette et al (US Pat. 6,499,026), herein referred to as “Rivette”.

As for claims 13, 22 and 31, Rivette teaches a processor-implemented method and corresponding computer-readable medium storing processor-executable process steps and apparatus to manage corporate entities, process steps and apparatus comprising :  
accessing via a processor, corporate information of a plurality of selectable corporate

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entities, wherein the corporate information includes at least ownership information, legal documents information and contact information relating to each corporate entity

(col.16,lines 52-60; col.21, lines 14-26; col.22,lines 50-62);

presenting a plurality of selectable corporate entities and a plurality of selectable elements based on the accessed corporate information (col.27,lines 53-65; col.34,lines 56-67; col.35,lines 49-51; col.39,lines 35-54),

wherein a first one of the plurality of corporate entities is at least a partial owner of a second one of the plurality of corporate entities and is graphically presented as being organizationally upstream from the second one of the plurality of corporate entities (col.35,lines 29-61; col.72,lines 20-67; col.79,lines 9-40; col.80,lines 44-67; col.81, lines 1-2, 23-26, 44-67; col.82,lines 1-8),

wherein a third one of the plurality of corporate entities is at least partial owned by a fourth one of the plurality of entities and is graphically presented as being organizationally downstream from the fourth one of the plurality of entities (col.35,lines 29-61; col.72,lines 20-67; col.79,lines 9-40; col.80,lines 44-67; col.81, lines 1-2, 23-26, 44-67; col.82,lines 1-8), and

wherein each of the plurality of corporate entities is shareholder-owned owned by one or more shareholders of the corporate entity (col.102, line 20 - col.103,line 63; "business customer");

receiving a selection of the second corporate entity; receiving a selection of one of the plurality of selectable elements (col.72,lines 20-67; col.73,lines 18-63);

determining information corresponding to the one selected element and relating to the

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selected second corporate entity based on the accessed corporate information (col.73,lines 28-49); and presenting the determined information to a user (col.73,lines 50-63; col.79,lines 41-51).

As for claims 15, 24 and 32, Rivette teaches a method according to Claim 13, wherein the determined information comprises one or more of:

information relating to a formation of the second corporate entity; a location of corporate documents relating to the second corporate entity; contact information relating to the second corporate entity; ownership information relating to the second corporate entity; information relating to regulators of the second corporate entity; information relating to officers of the second corporate entity; information relating to jurisdictions in which the second corporate entity is qualified to do business; information relating to reports filed or to be filed on behalf of the second corporate entity; controllers information relating to the second corporate entity; and funds information relating to the second corporate entity (col.27,lines 53-65; col.34,lines 56-67; col.35,lines 49-51; col.39,lines 35-54; col.72,lines 20-67; col.73,lines 18-63).

As for claims 16, 25 and 33, Rivette teaches a method according to Claim 13, further comprising: receiving instructions to generate a document including document information relating to the selected second corporate entity; determining the document information; generating the document; and presenting the document to the user

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(col.73,lines 18-63).

As for claims 17, 26 and 34, Rivette teaches a method according to Claim 13, further comprising: receiving instructions to edit the determined information (col.36,lines 7-17); determining whether the user is authorized to edit the determined information; and editing the determined information if it is determined that the user is authorized to edit the determined information (col.46,lines 52-67; col.47,lines 1-5).

As for claims 18, 27 and 35, Rivette teaches a method according to Claim 17, further comprising: associating information identifying the user with the edited information (col.72,line 19).

As for claims 19, 28 and 36, Rivette teaches a method according to Claim 17, further comprising: presenting an indication that the determined information is in the process of being edited (col.28,lines 4-8).

As for claims 20 and 29, Rivette teaches a method according to Claim 13, further comprising: associating information identifying a date on which the information was edited with the edited information (col.72,line 14).

As for claims 21, 30 and 37, Rivette teaches a method according to Claim 13, further comprising: receiving a request for an image of a document relating to the selected

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second corporate entity; and presenting the image to the user (col.72,lines 20-67; col.73,lines 18-63).

As for claims 38, Rivette teaches a processor-implemented method comprising:  
accessing via a processor, corporate information of a plurality of selectable corporate entities, wherein the corporate information comprises one or more of (col.16,lines 52-60; col.21, lines 14-26; col.22,lines 50-62):

*information relating to a formation of the second corporate entity,*

*a location of corporate documents relating to the second corporate entity,*

*contact information relating to the second corporate entity,*

*ownership information relating to the second corporate entity,*

*information relating to regulators of the second corporate entity,*

*information relating to officers of the second corporate entity,*

*information relating to jurisdictions in which the second corporate entity is qualified to do*

*business information relating to reports filed or to be filed on behalf of the second*

*corporate entity , controllers information relating to the second corporate entity, and*

*funds information relating to the second corporate entity; (col.27,lines 53-65; col.34,lines*

*56-67; col.35,lines 49-51; col.39,lines 35-54; col.72,lines 20-67; col.73,lines 18-63);*

*presenting a plurality of selectable corporate entities and a plurality of selectable*

*elements based on the accessed corporate information (col.27,lines 53-65; col.34,lines*

*56-67; col.35,lines 49-51), wherein a first one of the plurality of corporate entities is at*

*least a partial owner of a second one of the plurality of corporate entities and is*

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*graphically presented as being organizationally upstream from the second one of the plurality of corporate entities (col.35,lines 29-61; col.72,lines 20-67; col.79,lines 9-40; col.80,lines 44-67; col.81, lines 1-2, 23-26, 44-67; col.82,lines 1-8), wherein a third one of the plurality of corporate entities is at least partial owned by a fourth one of the plurality of entities and is graphically presented as being organizationally downstream from the fourth one of the plurality of entities (col.35,lines 29-61; col.72,lines 20-67; col.79,lines 9-40; col.80,lines 44-67; col.81, lines 1-2, 23-26, 44-67; col.82,lines 1-8), and wherein each of the plurality of corporate entities is shareholder-owned (col.102, line 20 - col.103,line 63; "business customer"); receiving a selection of the second corporate entity; receiving a selection of one of the plurality of selectable elements (col.72,lines 20-67; col.73,lines 18-63); determining information corresponding to the one selected element and relating to the selected second corporate entity based on the accessed corporate information; and presenting the determined information to a user (col.73,lines 50-63; col.79,lines 41-51).*

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**(Note:)** It is noted that any citation to specific, pages, columns, lines, or figures in the prior art references and any interpretation of the references should not be considered to be limiting in any way. A reference is relevant for all it contains and may be relied upon for all that it would have reasonably suggested to one having ordinary skill in the art. In re Heck, 699 F.2d 1331, 1332-33, 216 USPQ 1038, 1039 (Fed. Cir. 1983) (quoting In re Lemelson, 397 F.2d 1006,1009, 158 USPQ 275, 277 (CCPA 1968)).

### ***Response to Arguments***

Applicant's arguments with respect to claims 13, 15-22 and 24-38 have been considered but are moot in view of the new ground(s) of rejection.

### ***Conclusion***

**THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

***Inquires***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Nicholas Augustine whose telephone number is 571-270-1056 and fax is 571-270-2056. The examiner can normally be reached on Monday - Friday: 9:30am- 5:00pm Eastern.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Weilun Lo can be reached on 571-272-4847. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Nicholas Augustine/  
Examiner  
Art Unit 2179  
February 25, 2010

/Ba Huynh/  
Primary Examiner, Art Unit 2179